

CHAPTER 12

SMALL ARMS SERIAL NUMBER REGISTRATION AND REPORTINGA. GENERAL

This chapter provides standard procedures for reporting small arms serial number data to the DoD Registry' and applicable transactions between the Military Departments and Defense Agencies.

B. SCOPE

The provisions of this chapter apply to the Military Departments and Defense Agencies (hereafter referred to as DoD Components) responsible for inventory management of small arms.

C. OBJECTIVES

1. Establish continuous visibility over all small arms by serial number from the contractor to depot; in storage; in transit to requisitioners; in post, camp, and station custody; in the hands of users; during turn-ins; in renovation; and during disposal/demilitarization.

2. Interface the small arms serial number reporting between the DoD Components using standard procedures.

3. Provide law enforcement agencies, within 72 hours, the identification of the last known accountable activity having a specific serial numbered small arm.

D. DELINEATION OF RESPONSIBILITIES1. DoD Registry will:

a. Be operated and maintained by the Department of the Army.

b. Provide a central repository of small arms serial numbers from the Component Registries, to include those which are on hand, in transit, and have been lost, stolen, demilitarized, or shipped outside the control of DoD.

c* Provide law enforcement agencies, within 72 hours, the identification of the last known Component Registry (to include telephone number) having a specific serial numbered small arm. Other inquiries, depending on volume and existing workload, will be responded to as expeditiously as possible.

d. Enter all inquiries from law enforcement agencies and inquiries from appropriate Military and civilian activities for weapons

located in foreign countries on the DoD Registry file when no record exists on the active or inactive file. This will be accomplished by using the **DI** Code DSM transaction with Small Arms Transaction Code 1 and entering the message/inquiry form number in the document number field, for cross-reference purposes. These entries will remain on the DoD master file until the weapon is returned' to DoD control and properly recorded on a Component Registry. ,

e. Identify duplicate serial numbers on tapes received from the Component Registries, as a minimum, on a quarterly basis. The appropriate Service **s/DLA will be** contacted to verify duplicates and the DoD Registry will issue selected suffixes to modify affected serial number(s) for all but *one* of the duplicate numbers. Duplicate serial numbered weapons located in **the** wholesale system should be modified first to the extent possible. Appropriate corrective instructions will be provided to Component Registries who reported duplicate serial numbers and a complete historical cross-reference record (mechanical or hard copy) will be established, in order to maintain an audit trail for all modification actions.

2. Component Registries will :

a. Maintain and control a mechanized active, and inactive, history **file** to control small arms serial numbers for which they maintain or had maintained accountability.

b. Update files based on transaction reporting; e.g. , receipts, issues, turn-ins, and inter-Service transfers. Suffix codes will be perpetuated from **all** receipt/issue/adjustment trans-actions when updating files.

c. Use standard data elements prescribed in appendix B and reporting formats prescribed in appendix C to interface between Component Registries for reporting changes affecting the small arms status in the master file of the Component Registries.

d. Monthly, mail a magnetic tape to the DoD Registry reflect-
ing active and inactive files in serial number sequence. The address
is: Commander, U.S. Army Armament Munitions and Chemical Command,
ATTN : DRSMC-MMD-LW (R), Rock Island, Illinois 61299-5000,

e. Identify duplicate serial numbers recorded on file and request altering instructions from the **Do D** Registry for **all** but one of the duplicate numbers. Suspend movement of these weapons pending verification of the record and/or instructions for modification of the serial number on the weapon.

f. Provide data available upon receipt of an inquiry from a law enforcement agency and initiate action as deemed appropriate.

g. Perform an annual records verification utilizing the

registry files to obtain records compatibility with depot custodial files and **ICP** accountable files by stock number and quantity.

h. Report weapons lost, damaged, or destroyed in accordance with DoD 72 00.10-M (reference (cc)). Small Arms Transaction Code Q is applicable for reporting potential lost or stolen small arms, pending full investigation/report of survey. , Transaction Code U is applicable for reporting if the missing weapon is found or recovered. The WSN control transaction, **DI** Code DSM, prepared in the appendix C32 format, will be used for updating the registries.

i. Weapons determined to be lost or stolen after all investigative requirements have been initiated, including a report of survey, will be identified on the Component Registry with Small Arms Transaction Code L. The WSN transaction prepared in the appendix C32 format will be used. (Note: DoD Components are required to submit semiannual reports to the chair, Physical Security Review Board in accordance with DoD Directive 51 00.76-M (reference (old)), for all weapons where theft, loss, and recovery occur.)

j. Perform an annual reconciliation with all activities recorded on the registry as having possession and/or accountability of reported small arms by serial number, stock number, and quantity. The method of performing the reconciliation will depend on the **Components'** capability of utilizing AU TO DIN transactions, tape, or listings. When tapes or listings are used to perform the annual reconciliation, they will be identified by the appropriate transaction **DI** code either as header information or reflected with each line entry (see paragraph H.4.).

k. Report to the Chairman of the **JSACG** all new weapons or devices that could be construed as a weapon. The chairman will identify the reportability and notify the Services. Weapons or devices for which no determination can be made will be discussed by the full **JSACG**.

3. The **JSACG** responsibilities are as set forth in DoD **Instruction 4140.52** (reference (ee)). The mailing address for the **JSACG** is: Commander, U.S. Army Logistics Evaluation Agency, ATTN: DAL 0- LEZ-L, New Cum **berl** and Army Depot, New Cum **berl** and, PA 17070-5000.

4. The MI **LSTRAP** System Administrator responsibilities are set forth in chapter 1 , section F. and in DoD Instruction 4140.52.

E. EXCLUSIONS

1. Small arms purchased with nonappropriated funds and **privately-**owned weapons are exempt from being reported to the DoD Central Registry since these weapons are controlled by civil authorities under the Gun Control Act of 1968. (This does not include weapons turned in **for disposal**. See paragraphs F.5. and 6.)

2. Classified activities, which determine that specific small arms should not be registered under these procedures, should request guidance through appropriate channels from the DoD Component.

3. Deviations from MI **LSTRAP** requirements by DoD activities with small static inventories require concurrence of the JSACG and approval of the DoD MI **LSTRAP** System Administrator. Requests for deviations, to include appropriate justification, will be submitted to the Defense Logistics Standard Systems Office, AT TN: **DLSSO-BT**, Cameron Station, Alexandria, VA 22304-6100.

F. GENERAL PROCEDURES

1. Small arms, as defined in chapter 1 of this manual, including those mounted on aircraft, vehicles, and vessels, that are accounted for in unclassified property records, will be reported (included **will** be foreign and commercial weapons, and museum pieces with serial numbers).

2. Small arms without an NSN and/or small arms serial number (**except** museum pieces) with missing, obliterated, mutilated, or illegible serial numbers, when discovered, will be reported to the DoD Registry by the Component Registry, for review and assignment of an MC N/NSN. Assignment of LCN or MCN will not replace or be used in lieu of procedures to request assignment of NSN, where applicable. The Component Registry will report all small arms without NSN and/or small arms serial number, by message or letter for assignment of serial number and/or NSN in the following format:

<u>NSN</u>	<u>Serial Number</u>	<u>Description</u>
(NSN or none)	(SN or none)	(Make, model, caliber and other nomenclature data)

3. LCN/MCNs will be used by the DoD Components for all weapon identification until a valid NSN can be obtained from the DoD Registry in accordance with paragraph F.2. above, or notification that LCN/MCN will not be assigned an NSN.

4. In addition to requirements contained in MI **LSTRIP** (reference (h)), **documentation** accompanying small arms shipments between DoD Components will include:

a. Two WSN control documents **DI** Code DSM, for each weapon in the shipment, will accompany the supply documentation. The WSN format is contained in appendix **C32**.

b. Where operational procedures preclude compliance with the above, a listing of WSNS, by box number, will be attached to the supply documentation.

5. Lost, abandoned, or unclaimed privately-owned small arms that are processed through a Board of Officers for actions described in chapter **VI**, DoD 4160.21-M, DUDM (reference (f f)), and subsequently turned in to a DPDO, will be registered immediately when they come under Government control .

6. Nonappropriated funded small arms turned in to a DPDO and privately-owned weapons classified as **claims** property will be registered immediately when they come under, the control of DoD. Small arms that are claimed (private property whose title has passed to DoD as a result of a claim against the Government due to its damage in connection with Government activities, usually movement of household goods) and confiscated (private property whose title has passed to DoD as a result of being confiscated by appropriate authority, usually as a result of being abandoned and/or unauthorized for personal possession) by DoD activities will be reported immediately to Component Registries.

7. The DoD Components will take action to obtain a new NSN (or currently assigned NSN) from the DoD Registry for modified weapons rendered inoperable, that are used for ceremonial or training purposes. These weapons **will** be retained on the Component Registries as a weapon subject to the reporting criteria.

8. **In** the event of mobilization or other emergency, the DoD Registry and the Component Registries will continue to operate and be maintained. Transaction Code J (Suspension of Reporting Requirements) may be utilized in emergency situations as authorized by the individual Services.

G. SAFEGUARDING AND PHYSICAL SECURITY OF ADP RECORDED DATA

1. The small arms data contained in the ADP records of the DoD Registry could produce classified data if the total number of serial numbers by type weapon were summarized. Consideration should be given to security of the small arms records due to their sensitive nature. Security of ADP records will be in accordance with DoD 5200.1-R (reference (gg)).

2. A determination to classify shall be made when there is sound reason to believe that knowledge of the information would provide a foreign national with an insight into the war potential, war defense plans, or posture of the United States and could reasonably be expected to cause a degree of harm to the national security.

3. The operation of this program does not relieve units/activities from the requirements for physical security of weapons in accordance with DoD Component regulations.

H. OPERATING PROCEDURES

1. The Component's active and inactive files, in serial number sequence, will be forwarded to arrive at the DoD Registry not later than the 10th of each month. The tape record format will be in accordance with appendix C32. The DoD Registry will verify record counts as indicated on the tape.

2. The DoD Registry will combine the Component's tapes into a single file, in serial number sequence, not later than the 15th day of each month. The DoD Registry will identify duplicate serial numbers as a minimum quarterly, in accordance with subparagraph **D.1.e.**, above.

a. If the duplicate serial numbers appear during the next check, and are owned by a single Service, the Component's registry will be notified to validate the serial numbers. If duplicate serial numbers remain after this validation, the Component Registry will take action to request altering instructions from the DoD Registry to modify affected serial number(s). The DoD Registry **will** issue modified serial numbers (utilizing selected **alpha** suffix) and maintain a complete historical cross-reference record.

b. If the duplicate serial numbers appear during the next check, and are owned **by** more than one DoD Component, the DoD Registry will notify each Component Registry to validate their serial numbers. If duplicates remain after this validation process, the **DoD Registry** will issue modified serial numbers to one of the Component Registries (utilizing selected alpha suffix) and maintain a complete historical cross-reference record.

3. Weapons recovered by law enforcement agencies or foreign countries and returned to the custody of a DoD Component will be registered on the Component Registry using Small Arms Transaction Code U and **DI** Code DSM.

4. WSN control transactions, **DI** Code DSM, are used to report inter-Service transfers between the Component Registries. The data flow for reporting shipments will be as indicated below. The number of additional WSN control transactions for posting the active file and inactive file is determined by each DoD Component to meet their individual requirements.

a. Shipments Between DoD Components

(1) When small arms are selected for shipment by the shipping activity, the WSN transaction data for the weapons, **DI** Code DSM prepared in the appendix C32 format, is required. Three WSN control transactions for each weapon will be prepared. Transaction code S will be in the one transaction provided to the shipping Component Registry giving notification of shipment. Two WSN documents,

without a transaction code, for each weapon in the shipment, are attached to the supply documentation accompanying the shipment. The documents are grouped and identified to a specific box in the shipment. The two WSN documents that accompany the shipment will have the **RI code** of the Component Registry for which the confirmation of receipt (transaction code R) will be submitted. The shipping Component Registry enters the small arms data in the active file to indicate the intransit shipment. The **shipping** Component Registry then forwards the WSN control transaction to the destination Component Registry.

(2) The destination Component Registry enters the small arms data into the active file to open the record. This record is maintained until confirmation of receipt of the weapon is provided by the receiving activity. Upon receipt of the small arms at destination, the receiving activity must change the WSN transactions to put their Do **DAAC** in record positions 51-56 and the date the materiel was received in record positions 76-80. The receiving activity will utilize one of the **WSN** transactions to update their Component Registry. The second WSN document will be utilized by the receiving activity **for** internal purposes. The receiving Component Registry matches the small arms data against the data previously provided by the shipping Component Registry. A match constitutes a reconciliation and completes the record. The receiving Component Registry then forwards one WSN control transaction utilizing transaction code R to the shipping Component Registry providing notification of receipt of weapons.

(3) **If 30** days in transit is exceeded, coordination will be initiated by the shipping Component Registry to determine the status of the outstanding S transaction. Normally, this is accomplished with a monthly overage listing furnished the receiving Component Registry. All outstanding shipments will be cleared within 30 days of notification. **If 60** days in transit is exceeded, the shipping Component Registry will initiate a priority message to the destination Component Registry involved, with an information copy furnished the respective Service unit, requesting status of the shipment. **If** the shipment has not been received, the Shipping Component Registry will advise those commands involved and report the weapons as missing, lost, or stolen to their appropriate investigative agency and the DoD Weapons Registry (see subparagraphs **D.2. g.** and **h.**)

(4) The shipping Component Registry matches the WSN control transaction with transaction code R against the data previously provided by the shipping activity. A match constitutes a reconciliation and completes the record which is then moved from the active file to the history file.

(5) This reporting procedure also applies to weapon shipments from one DoD Component to another for maintenance purposes. This requirement will be included in any maintenance support agreements between the DoD Components.

b. Shipments from Procurement. When small arms are shipped from a contractor to activities within the DoD, the contractor is required to prepare three WSN control documents. Transaction code P will be in the one transaction provided to the shipping Component Registry giving notification of **shipment**. Two WSN documents without a transaction code, and having the **RI** code of the Component Registry for which the confirmation of receipt (transaction code R) will be submitted for each weapon in the shipment, are attached to the supply documentation accompanying the shipment. These documents are grouped and identified to a specific box in the shipment. The data on the WSN control document is entered in the Component Registry to open the record. This record will be maintained in suspense until confirmation of receipt of the weapon is provided by the receiving activity. Upon receipt of the small arms at destination, the receiving activity must change the WSN transaction to put their DoDAAC in record positions 51-56 and the date the materiel was received in record positions 76-80. The receiving activity will utilize one of the WSN **transactions to** update their Component Registry. The second WSN document will be utilized by the receiving activity for internal purposes. The Component Registry matches the small arms against the data previously provided by the contractor. A match constitutes a reconciliation and completes the record.

c. Shipments to FMS/Grant Aid and Other Agencies Outside the Control of DoD. When small arms are selected for shipment by the shipping activity, small arms data of the weapons, **DI** Code DSM transaction prepared in the appendix C32 format, is retrieved and provided to the Component Registry giving notification of shipment. The Component Registry codes each weapon in the shipment, utilizing transaction code N (Shipment to Other Agencies) or F (Shipment to FMS/Grant Aid) depending on type of transaction. The Component Registry then enters the small arms shipment data into the inactive file. Small arms will again be registered by the receiving Component Registry, should the weapons be returned to the DoD supply system.

5. When small arms are selected for destruction at the demilitarization activity, the small arms data, **DI** Code **DSM** transaction prepared in the appendix C32 format, is provided to the Component Registry once the demilitarization has been completed. The Component Registry codes each of the weapons demilitarized using the transaction code V. The Component Registry then enters the small arms demilitarization data into the inactive file.

6. The DoD Small Arms Serialization Program is designed to provide investigative agencies with the identification of the last accountable activity having specific serial numbered small arms within 72 hours. Investigative agencies will process all inquiries by message, letter, or telephone to the DoD Registry. The DoD Registry will identify the accountable Component Registry from the data contained in its master record and query that registry as to the last activity accountable for the specific serial numbered weapon. Once the Component Registry identifies the last accountable activity,

response is provided to the investigative agency through the DoD Registry.

7. Invalid or erroneous transactions, except **DI Code** DSA (see paragraph H.10.), will be rejected by the Component Registry to the originator of the transaction utilizing **DI Code** DSR transactions prepared in the appendix C33 format. **Reject** codes and corrective **action** required are contained in appendix B14. Since the reject advice code identifies only one error condition in the transaction, activities will review all other fields of the rejected **transactions**, prior to resubmission, to ensure that all data entries are correct.

a. Rejected transactions will be held in a suspense file by the Component Registry until corrective action has been received from the DoD Component. **DI Code** DSC transactions, prepared in the appendix **C29** format, will be used to respond to rejected transactions.

b. **In** the event no corrective action is received by the **Com-**ponent Registry within **14** calendar days, a **followup** transaction, **DI Code** DSF transaction prepared in the appendix C31 format, **will** be forwarded to the DoD Component.

8. The annual reconciliation of all small arms on the Component Registry will be performed utilizing **DI Code** DSR transaction in the appendix **C33** format and transaction code E (appendix **B13**). Matching records will be considered reconciled. Duplicate small arms serial numbers detected during the reconciliation will require modification instructions from the DoD Registry. Component Registries that perform the annual reconciliation utilizing other than transaction reporting **will** ensure that listings contain the **DI Code** DSR in the heading. Transaction Code E need not be identified on the listing or posted to the Component Registry.

a. Records not matched, or for small arms for which no reconciliation was received by the Component Registry, will result in a reject, **DI Code** DSR, to the DoD Component. The appropriate reject codes are contained in appendix B14.

b. In the event corrective transactions and/or notification of a problem is not received from the DoD Component within 60 calendar days the Component Registry will follow up utilizing **DI Code** DSF transaction prepared in the appendix C31 format.

9. Mass Stock Number Changes will be accomplished utilizing the **DI Code** DSB transaction prepared in the appendix C28 format.

10. The Small Arms Multi-Field Corrections Transaction **DI Code** DSA, **will** be used by reporting activities to change erroneous information on the Component Registry active/inactive file. The Component Registry will reject DSA transactions that do not match the file or contain invalid data.

a. Reporting activities will prepare the DSA transaction, in the appendix **C27** format when the Component Registry contains erroneous information. Changes can be made to the NSN, MCN, LCN; **DoDAAC/UIC** of the accountable activity; and serial number. When using the DSA transaction to correct erroneous entries recorded on the Component Registry, data previously reported, as applicable to record positions 8-41, shall remain the same. Transaction code K will be entered in record position 7 of the DSA transaction.

b. DSA transactions received by the Component Registry that do **not** match the NSN, MCN, and LCN; reporting activity **DoDAAC/UIC**; or serial number contained on the active/inactive file will be rejected to the reporting activity. The rejected transaction will contain the appropriate error transaction reject code, as contained in appendix B14, in record positions 76-77 and the date rejected in record positions 78-80. Rejected transactions **will** be suspended in the Component Registry pending receipt of a corrected **DI** Code DSA transaction. Since only one reject code can be reflected in the rejected transaction, the reporting activity must review all entries for additional invalid data before resubmitting the **corrected** transaction.

c. Component Registries will not include the DSA transaction on their overlay tape to the DoD Registry. The Component Registry will convert the DSA received from the reporting activity to **DI** Code DSM with K Transaction Code in record position 7 and the old serial number in the document field (record positions 30-43) for all changes to the serial number field for the monthly overlay tape.